

Substitute for form 1449A/PTO

**INFORMATION
DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

SEP 15 2001

Complete if Known

Application Number 09/879,372

Filing Date June 11, 2001

First Named Inventor R. Raymond May

Group Art Unit 2164

Examiner Name Not Yet Assigned

Attorney Docket Number 38866/235737

Sheet 1 of 3

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U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	U.S. Patent Document Number	Kind Code ² (if known)	Name of Patentee or Applicant Of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages of Relevant Figures Appear
JL	1.	3,581,072		Nymeyer	05-25-1971	
JL	2.	4,674,044		Kalmus et al.	06-16-1987	
JL	3.	4,677,552		Sibley, Jr.	06-30-1987	
JL	4.	4,903,201		Wagner	02-20-1990	
JL	5.	4,953,085		Atkins	08-28-1990	
JL	6.	4,980,826		Wagner	12-25-1990	
JL	7.	5,003,473		Richards	03-26-1991	
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JL	9.	5,101,353		Lupien et al.	03-31-1992	
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	14.	5,258,383		Nagamura et al.	11-02-1993	
JL	15.	5,258,908		Hartheimer et al.	11-02-1993	
JL	16.	5,270,922		Higgins	12-14-1993	
JL	17.	5,285,383		Lindsey et al.	02-08-1994	
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JL	19.	5,375,055		Togher et al.	12-20-1994	
JL	20.	5,396,552		Jahn et al.	03-07-1995	
Examiner Signature	<i>J. H. Hilt</i>				Date Considered	2/17/2004

*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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		Group Art Unit	2164
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Sheet 2	Of 3	Attorney Docket Number	38866/235737

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		Number	Kind Code ² (if known)			
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JL	26.	5,802,499		Sampson et al.	09-01-1998	
JL	27.	5,819,237		Garman	10-06-1998	
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JL	31.	5,915,209		Lawrence	06-22-1999	
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JL	38.	6,014,627		Togher et al.	01-11-2000	
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JL	41.	6,134,600		Liu	10-17-2000	

Examiner Signature	<i>[Signature]</i>	Date Considered	2/17/2006
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FOREIGN PATENT DOCUMENTS								
Examiner Initials	Cite No.	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T
		Office ¹	Number ²	Kind Code (if known) ³				
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JL	43.	EP	0 407 026	A2	Reuters Limited	01-09-1991		
JL	44.	EP	0 411 748	A2	Reuters Limited	02-06-1991		
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JL	48.	WO	97 03409	A	Cedel Bank	01-30-1997		
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OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T
JL	49.	JEROME YEN, HO GEUN, LEE AND TUNG BUI; <i>Intelligent Clearinghouse: Electronic Marketplace with Computer-Mediated Negotiation Supports</i> ; Proceedings of the Twenty-Ninth Hawaii International Conference on System Sciences, Proceedings of HICSS-29; 29 th Hawaii International conference on System Sciences, Wailea, HI, US, January 3-6, 1996; pages 219-2217, vol. 3; XP002097382 ISBN 0-8186-7330-3, 1996; Los Alamitos, California, IEEE Computer Soc. Press.	
Examiner Signature		<i>JL</i>	Date Considered
			2/17/2006

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¹ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).

² For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

³ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible.

⁴ Applicant is to place an "X" here if English language Translation is attached.

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Sheet 2 of 2

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First Named Inventor R. Raymond May
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Attorney Docket Number 38866/235737

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OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

GROUP 3600

Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T
JL	4	RABATIN, Adaptive Portfolio Trading Strategies for Forex Portfolios, Journal, April 1997, Pages 1-11, Issue 4, Rabatin Investment Technology	
JL	5	HIGGENS, Managing the Risk of Your Global Bond Portfolio, Journal, April 1996, Pages 13-16, Issue 0951-3604, Global Investor	
JL	6	AVANZATO, How to Use The Collateral Carousel, Journal, January 1998, Pages 29-31, Issue 0262-6969, International Financial Law Review	
JL	7	LUDWIG, Supervision by Risk, Journal, November 1995, Pages 52-60, Issue 1062-6271, Journal of Commercial Lending	
JL	8	Derivatives Tool Merger, Report, February 19, 1996, Page 4, Volume 28, Number 4, Issue 1042-7252, Software Industry Report	
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JL	10	TDC Symbology Guide, Article, November 2001, Pages 1-14, Track Data Corporation, Brooklyn, United States	

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